



2877

PATENT
Attorney Docket No.: 16869N-040600US
Client Reference No.: NT0487US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Naoki Matsushima, et al.

Application No.: 10/052,626

Filed: January 17, 2002

For: OPTICAL TRANSMISSION
MODULE

Examiner: H. Lee

Art Unit: 2877

SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT UNDER 37
CFR §1.97 and §1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

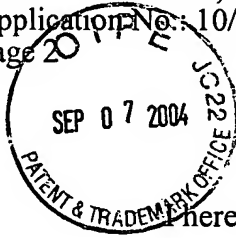
The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed.

Also enclosed is a copy of the European Search Report for the corresponding European application EP02001360 which cites the enclosed references.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR §1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

This IDS is being filed before the mailing date of the final Office Action or Notice of Allowance.



CERTIFICATION

hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

Applicant believes that no fee is required for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

Robert C. Colwell
Reg. No. 27,431

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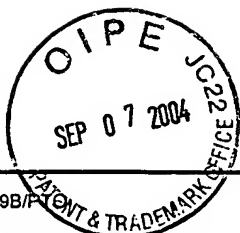
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/052,626	
			Filing Date	January 17, 2002	
			First Named Inventor	Naoki Matsushima	
			Art Unit	2877	
			Examiner Name	H. Lee	
Sheet	1	of	2	Attorney Docket Number	16869N-040600US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	1	EP	0691555	A1	01-10-1996	Alcatel AG		abstract only
	2	EP	0590393	A1	04-06-1994	Bosch GMBH		abstract only
	3	EP	0465230	A2	01-08-1992	AT&T UK		<input type="checkbox"/>

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.
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			Application Number	10/052,626	
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			First Named Inventor	Naoki Matsushima	
			Art Unit	2877	
			Examiner Name	H. Lee	
Sheet	2	of	2	Attorney Docket Number	16869N-040600US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	4	FISCHER et al. "Design and Behavior of Laser Modules for Gbit/S Rates," Proceedings of the IEEE International Conference on Communications '88 (1988).	
	5	GOTO "Design and Performance of a 10-Gbit/S Optical Transmitter Module," Proceedings of the IEEE-42nd Electronic Components and Technology Conference (1992).	
	6	KARSTENSEN "High-Efficiency Two Lens Laser Diode to Single-Mode Fiber Coupler with a Silicon Plano Convex Lens," Journal of Lightwave Technology 7:244-249 (1989).	
	7	LIPSON et al. "Opto-mechanical considerations for laser-fiber coupling and packaging," SPIE 554:308-312 (1985).	
	8	SARUWATARI et al " Efficient Diode to Single-Mode Fiber Coupling Using a Combination of Two Lenses in Confocal Condition," IEEE Journal of Quantum Electronics 17:1021-1027 (1981).	

Examiner Signature		Date Considered	
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¹ EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

² Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.



PTO/SB/21 (04-04)

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/052,626
Filing Date	January 17, 2002
First Named Inventor	Naoki Matsushima
Art Unit	2877
Examiner Name	H. Lee
Attorney Docket Number	16869N-040600US

Total Number of Pages in This Submission

ENCLOSURES (Check all that apply)

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|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Fee Attached
<input type="checkbox"/> Amendment/Reply
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Extension of Time Request
<input type="checkbox"/> Express Abandonment Request
<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)
<input type="checkbox"/> Licensing-related Papers
<input type="checkbox"/> Petition
<input type="checkbox"/> Petition to Convert to a Provisional Application
<input type="checkbox"/> Power of Attorney, Revocation
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<input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Technology Center (TC)
<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
USPTO forms SB08A & SB08B (2 pages),
copies of 8 cited references, Return Postcard |
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Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Townsend and Townsend and Crew LLP Robert C. Colwell	Reg. No. 27,431
Signature		
Date	9/1/04	

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Roger Hylton		
Signature		Date	9/2/04